

Docket No. 240841US2/ph

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Tetsuya KAWANISHI, et al.

SERIAL NO: 10/627,782

GAU:

FILED: July 28, 2003

EXAMINER:

FOR: LOW-NOISE OPTICAL FREQUENCY CONVERTER

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).
- ☐ A credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).
- ☐ A credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

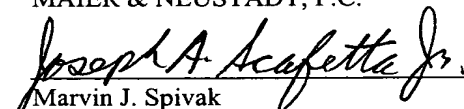
- ☐ Each item of information contained in this information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
Marvin J. Spivak

Registration No. 24,913

Joseph A. Scafetta, Jr.  
Registration No. 26,803

Customer Number

**22850**

Tel. (703) 413-3000  
Fax. (703) 413-2220  
(OSMMN 05/03)



DOCKET NO.: 240841US2/phh

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF:

Tetsuya KAWANISHI, et al.

SERIAL NO: 10/627,782

GROUP:

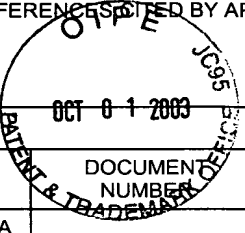
FILED: July 28, 2003

EXAMINER:

FOR: LOW-NOISE OPTICAL FREQUENCY CONVERTER

**STATEMENT OF RELEVANCY**

References AW and AX on Form 1449 are discussed in the specification.

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. <b>240841US2</b>		SERIAL NO. <b>10/627,782</b>	
LIST OF REFERENCES CITED BY APPLICANT  				APPLICANT <b>Tetsuya KAWANISHI, et al.</b>			
				FILING DATE <b>July 28, 2003</b>		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE	
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES                  NO		
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW	S. SHIMOTSU, et al., Optical Alliance, vol. 27, pages 27-30, "LiNbO <sub>3</sub> OPTICAL SSB MODULATOR FOR NEXT-GENERATION COMMUNICATIONS ", July 2000 ( with partial English translation )					
	AX	K. HIGUMA, et al., Technical Report of IEICE, OPE 2001-159, 6 pages , " THE DEVELOPMENT OF X-CUT LiNbO <sub>3</sub> OPTICAL FREQUENCY SHIFTER/ SSB-SC MODULATOR ", February 2002 ( with English Abstract )					
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							